DOCUMENT RESUME

ED 186 982 EA 012 622

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TITLE Changing Role of the Principal in California. An Education Planning Center Report. Revised.
INSTITUTION Los Angeles County Superintendent of Schools, Calif.
PUB DATE 5 Feb 80
NOTE 38p.

EDRS PRICE MF01/PC02 Plus Postage.
DESCRIPTORS Administrator Education; Administrator Qualifications; *Administrator Role; Educational History; Elementary Schools; Federal Legislation; Literature Reviews; *Principals; State Legislation; State Standards
IDENTIFIERS *California

ABSTRACT

In this report, the first of a series, literature on the changing role of the principal is reviewed in an attempt to define the contemporary principalship. Areas discussed are (1) the legal designation of the principal according to California law, (2) the evolution of the position, (3) such external pressures as urbanization and the scientific management movement, (4) the impact of federal and California state legislation, (5) variations in the conception of the principal's role during the twentieth century, (6) the shift since 1940 to a more open management style requiring new skills on the part of the principal, and (7) problems in the training and credentialing of California's principals. In general, the pressures being placed on principals from all sources are seen to be growing, while no means have yet been found for alleviating or redistributing those pressures. (Author/PGD)

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2/5/80

AN EDUCATION PLANNING CENTER REPORT

by

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CHANGING ROLE OF THE PRINCIPAL IN CALIFORNIA

"Perfection of means and confusion of goals, seem - in my opinion - to characterize our age" - Einstein (18:113)

Purpose

This report will focus on the identification of specific training needs of the elementary school principal in the county of Los Angeles, California. Particular emphasis will be placed upon requirements in the areas of planning and control, mandated since 1975.

Background and Structure of the Report

Torkelson (53:287-8) set the basic premise and parameters for this report when he proposed this logic statement: "If one accepts as a primary goal of schools providing learners with the best combination of learning resources available, then technology of instruction applied to this goal would mean the systematic development and management of learning resources to provide optimum learning conditions."

In this report, the first of a series, literature on the changing role of the principal is reviewed in an attempt to define the contemporary principalship. Areas discussed are: the legal designation of the principal according to California law, the evolution of the position, external pressures, the impact of federal and state

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legislation, the changing role, the break in the traditional principal/staff relationship and the problems identified by other studies in the training and credentialing of California principals.

The Principalship - Legal Designation in California

The elementary principalship was the first administrative position in public education in America. It has remained a significant position in an ever-increasing array of line and staff positions during a continuous organizational growth and expansion of function.

The official status of the school principal in California is delineated, basically, in two state documents, the California Education Code (58) and Title 5, California Administrative Code (11). Education Code Section 35042 establishes the right of a school district to employ a principal. It reads:

> 35042. The governing board of each school district may employ a principal for each school under its control.

Section 5550 of Title 5 makes the principalship mandatory. It reads:

> 5550. Principal. The governing board of each school district shall employ a principal for each school of the district who may also be a teacher. One person may be employed as principal of more than one school. In a one-teacher school the teacher is the principal.

Section 44860 of the Education Code stipulates specific credential requirements in a school with six or more teachers.

> 44860. No person shall be employed as principal of a school of six or more teachers, including the principal, unless he is the holder of a valid teacher's credential and either a valid school administration credential of the same grade as the school to be administered or a valid standard supervision credential authorizing service as a principal of a school of the same grade as the school to be administered.

Section 5551 of Title 5 establishes the responsibilities of the principal. It reads:

> 5551. Administration of School. The principal is responsible for the supervision and administration of his school.

Section 55861 of the Education Code provides a limited exception to the requirement defined in Section 44860. It reads:

> 44861. A substitute principal holding a valid teacher's credential of the same grade as the school may be employed without meeting the requirements of Section 44860 to meet an emergency for not more than five months of any school year.

Section 5600 of Title 5 underscores the fact someone must be designated as being in charge of the school at all times. It reads, in part:

> 5600. If the principal leaves the school premises during his duty-free lunch period, he shall leave the vice-principal or other certificated employee in charge.

The Education Planning Center of the Office of the Los Angeles County Superintendent of Schools compiled a list of provisions found in the Education Code and other state governmental codes that refer directly to the responsibilities of the principal (36:1-12). Many of these provisions add to the responsibilities of the principal, while restricting the principal's authority.

The Principalship - The Evolution

American public education had its inception in the Massachusetts Bay Colony in 1642 and 1647, taking diverse shapes and forms as it spread throughout Colonial America. The principles of local control were born out of the colonists' fear of the European style of strong central control where education was reserved as the exclusive province of the privileged.

According to Reeder (45:7-8) early administration of American schools was patterned after the contemporary "town meeting" approach to all community

affairs of the day. The only school employee was the teacher. Administrators, or for that matter, school board members, were not even thought of as being necessary. Hagman (24:223) claimed that the early educator was often a person of low rank in the community, with many early teachers arriving in America as indentured servants.

The administration of schools was a relatively simple task. Laymen furnished any supervision of teaching deemed necessary; teacher and community established the curriculum. Spears (51:44-5) defined supervision of the early school program as "inspection for the sake of control, with emphasis upon observing rules and maintaining standards." He also traced the evolution of the principalship. At first the townspeople of the Massachusetts Bay Colony assigned one teacher to each one-room school. As communities grew and more students went to school, a second teacher was added. One teacher was named head teacher, master teacher or principal teacher. The principal teacher gained an added duty: the taking of records to the town council.

The next step in the evolution of the principalship was the double-headed school. These new schools were administered by two masters. One was called the primary master who taught the "content subjects" such as grammar, reading and geography. The other master taught writing. Leipold (34:27) reporting on problems arising from this double-headed organization, along with the eventual solution. The "grading" of schools helped cause the demise of these two-master systems. The primary principal became the head assistant to the grammar principal.

The eight-grade school developed in response to increased demands from society for lengthening the number of years of schooling for students. The eight-grade school was designed to provide education for students not expected to go any further in school. It was the terminal school for most students for many years. With the increase in both size and complexity, the earlier system of lay school supervision became outmoded. It was supplanted by a supervisory system revolving around the appointment of professional educators for the important task of managing the school.

Although John Philbrick has been credited with being the first principal over all departments in a school, Liepold (34:28) pointed out that there were one-principal schools in Cincinnati, Ohio, in 1837. This was at least ten years earlier than Philbrick began his principalship in Boston, Massachusetts. Liepold also indicated that the trend to establish the principalship as an integral part of the elementary school continued. In 1859, St. Louis schools were made one-principal schools as graded schools.

Later, as supervision duties increased, the principal was released from all teaching duties, allowing building managers to devote all of their time to actively managing the school. Thus, the position of the elementary principal was firmly established.

The Principalship - External Pressures

As the eight-grade elementary school was emerging, two opposing positions regarding education were growing in the early 1900s. The first position of the professional educators who specialized in the knowledge of the field to the point that they became less involved in the values and desires of the community. To these educational specialists, the lay public was regarded as unenlightened, with little understanding of education. At the same time, opposing this was the thrust for scientific management.

Callahan (15:42) described the spread of what he called "the cult of efficiency." It was presented as a system which could also be applied not only by experts but by anyone with common sense. A wave of criticism directed against many institutions, especially those large enough to be suspected of gross managerial inefficiency and those supported by taxation, was reported by Callahan (15:47). He stated that beginning early in 1911, hardly a month went by over the next two years without articles complaining about the schools being printed in either the professional or popular journals.

Campbell, Coberly and Ramseyer (16:52) indicated the educator for much of the schism between the school and its patrons. They claimed that by the beginning of the twentieth century, professional educators became so imbued with their

knowledge of how children learn, what methods to employ in teaching, what administrative procedures to use, what kinds of school plants to build, and how to raise money to finance school programs that they nearly forgot that the schools, in reality, belong to the people.

At the same time, according to Atkinson and Maleska (6:106), cities were growing up and developing structures that accommodated production and financial exchange. There was little or no consideration given to the requirements of childhood. The schools were forced to supply more and more experience regarded as essential for the socialization of youth in the areas of manners and morals, health, vocation, recreation, and civic behavior. Thus, urbanization made it necessary to provide for longer years of formal schooling than had ever been required in the rural environment.

The dichotomy of more demands on education and the growing aloofness of the professional educator led to close scrutiny of the organization and management of public education. Leaders of this in-depth study of the administration of the schools were Cubberley of Stanford, Strayer of Columbia, and Judd of Chicago. Campbell, Corbally and Ramseyer (16:71) described the first approaches toward improving school administration and the influence of the "efficiency experts" upon the methods used. They claimed that more than anything else, these students of administration approached the field from the standpoint of job analysis. Observations were made of the administrators at work. The tasks they were required to perform were noted, and suggestions were made on how these tasks might be performed more effectively.

An example of the extent to which scientific management affected education during the first quarter of the twentieth century was reported by Callahan. (15:173). In his review of J. Howard Hutchinson's study (30), made in 1914, he found that Hutchinson called for a thorough analysis of the principal's efficiency each month before his payroll was processed. The principal's salary was to be prorated over each grade. The amount of time spent in supervision of each grade would establish the ratio for the distribution of this salary. A notable aspect of this recommendation was that all of the principal's activities were to be verified by the school secretary in ledgers for each grade.

The efficiency movement spawned increased study in the field of school management. Eventually critics began to note the emergence of undesirable side effects of application of the principals of scientific management as a tool for improving school administration. Cubberley (17:35) called for humanizing the procedures for supervision with what he called "helpful leadership." Hagman (23:259) cited an alternative rationale claiming that good business management of a school system could be measured. The measure was not the size of economies achieved or the adequacy of records, but it was the amount of educational benefits secured through the employment of each dollar invested.

Remarks such as Cubberley's and Hagman's tend on the one hand to authoritatively pronounce a direction for the management of the school, while on the other hand they give little guidance regarding how this management should be done. Hodgkinson (28:202-4), for example, promoted a "Field Theory of Administration" which he drew from physics, based on principals of electromagnetic and gravitational fields. He claimed that an organization was "an imponderable field of forces" that confronts each administrator, with power the prime factor. Power can be found in any part of the system, and situations have been observed in which there is a "powerless administrator" and "powerful subordinates" in a system.

Hodgkinson (28:204-6) emphasized that the administrator must be acutely aware of the "power distribution within his field at any given time or over any period of time." He concluded that, when formal authority is established by the legal constitution of the organizaiton, informal authority is distributed throughout the system as individuals and groups of fields interact. Thus, within the "field reality" the administrator is called upon not only to know where the power is, but also to harness that power. This theory may explain why today's principals feel so much added pressure created by external forces.

The Principalship - Federal and State Legislation

Through the years federal and state legislation has added to the pressures upon the principal and to his responsibility for managing the complex network of people and programs that make up his system. Although historical interpretation of the Constitution has placed the control of education with the states, the federal government has been very active in educational matters.

Federal legislation and Supreme Court decisions have affected public education defining the role of the principal. Federal enactments have ranged from the establishment of military academies to land grants, lunch programs, vocational education, the "GI Bill of Rights," manpower development, the National Science Foundation, and the National Defense Education Act. Although these measures had an impact upon public education, two events, the desegregation decision of the Supreme Court in 1954 and the passage of the Elementary and Secondary Education Act in 1965, set a new direction in education.

With the passage of the Elementary and Secondary Education Act, a new role for the federal government in local education was defined. This act provided large-scale financial support for federally defined programs. ESEA Title I earmarked money for Educational Disadvantaged Youth (EDY). The emphasis was on language, reading and mathematics. A review of the multitudinous government regulations that followed the act regarding EDY programs, and subsequent renewals of the act, brought new challenges and burdens to the school principal.

Berman and McLaughlin (9:1-3) indicated that ESEA Title III presented another kind of problem for the site administrator. The thrust was the promotion of "educational innovation" through federally sponsored "change agent" programs altering local school practices. Berman and McLaughlin saw this thrust as presenting a challenge to the nation's educational system. The implication was that "status quo" was inadequate and that the schools should be doing something differently; but that something was not defined. It was left to the discretion of the local school district.

Public Law 94-142, passed in 1975, added even tighter controls on local education. This was not an education bill, but a civil rights act. Public Law 94-142 imposed many new duties on the school site manager. The Los Angeles County Superintendent of Schools Education Planning Center's paper, "Role of the Principal as Defined in the California Education and Other State Codes," devotes six pages to the California Education Code section that established new responsibilites for school principals in meeting the requirements of Public Law 94-142 (36:7-12).

The California legislature has been very active during the past two decades, enacting laws with the intent to cause change in the delivery of education to diverse pupils and in the role of the principal. Senate Bill 1 in 1968 eliminated many specific mandates regarding the amount of time to be spent on individual curriculum subjects, except physical education. Local school districts were encouraged to design their own programs based on the needs of their students. This was followed by an attempt to install a state-wide Program Planning Budgeting System with state guidelines (12:1-173) being developed and disseminated widely throughout the state; but these guidelines were never adopted by the California State Board of Education.

Wilson Riles, Superintendent of Public Instruction of California stressed the need for Early Childhood Education. The legislative vehicle was Assembly Bill 332 in 1973, which expanded the role of teachers and parents in School Curriculum Planning and their interaction with the principal. Assembly Bill 293 of 1976, amended by Senate Bill 77 the next year, mandated the evaluation of teachers based on pupil progress toward achievements as district-adopted continuum standards, learning environment, and performance of non-teaching duties. Collective bargaining became a fact in public education California with Senate Bill 160 in 1976. This added another dimension to the role of the principal.

The concepts involved in Early Childhood Education were expanded to all grades with the passage of AB 65 in 1976, which created the School Improvement Program. The School Improvement Program was unique in that it called for a one-year planning grant for new school programs. Also included in AB 65 was Assemblyman Gary Hart's concept of teacher centers. Performance standards, included in other legislation fostered by Hart (AB 3408 in 1976), added additional graduation requirements.

Performance tests originally were required only in grades 7, 8 or 9 and in grade 11. Grades 4 and 6 were added by AB 65 in 1976. In contrast was the concept behind equivalent standards test in AB 3408 in 1976, which allowed students to meet high school requirements by simply passing a state-constructed test. Only a certificate was to be issued, and students who passed the test could enroll in California's two-year community colleges or in any four-year college or university that would

accept them. Students' rights were expanded in AB 5301 of 1977 and AB 2191 in 1978. These acts call for a complex due process procedure when a student is to be suspended, expelled, or excluded from public schools. The principal's power to administer the school was greatly restricted.

Proposition 13, passed in June 1978 and upheld by the California Supreme Court in August 1979, drastically limited local school boards' ability to control school district income. For all practical purposes, control of local school budgets was placed squarely in the hands of the California legislature and governor. The uncertainty of legislative action created feelings of insecurity in all public employees, particularly those in the schools. Faced with the loss of fiscal control and declining enrollments, local school boards reduced staff and programs in anticipation of reduced income. When SB 145, known as the "Bail-out Bill," was passed in August 1978, programs and people were reinstated. This legislative action was repeated with AB 8 in 1979, and added to the burdens of the site administrator, particularly in the area of personal and professional relations with staff. No one knew where he or she stood.

With this massive amount of legislation, elementary principals in California schools today find it increasingly difficult to control their destiny. The profound social changes of the 1950s and 1960s have been described in ponderous detail by many other researchers. The vast array of federal and state statutes and administrative regulations has created a crisis in the principalship according to Houts (29:2). Thus, the role of the principal has changed from its simple beginning, described in the previous section of this report, to one of increased responsibility and reduced authority.

The Principalship - The Changing Role

The handling of the administrative functions of the individual school has been the province of the principal since principalship was created. The role of the principal has changed as society's demands have increased upon the school. The literature shows a variance of views ranging from descriptions of characteristics of the principal to detailed lists of his/her daily tasks.

In the May 1893 issue of The School Review, educator J. G. Allen (1:291) gave some insight into the late nineteenth century school administrator. He offered the following suggestions to his fellow administrators:

> "To secure the best results from supervision, a principal must, first of all, look well himself. His habits must be exemplary, uniform and regular, his character clear, his health perfect. A dyspectic (sic) gloomy or peevish person is out of place in the school house. One suffering from indigestion is in poor condition to undertake to manage a large number of young people. Personal appearance is no small item in the make-up of the successful supervisor. Choosing the happy mean between dude and sloven, he offends not to be either extreme. Kindly disposition is another element of success. Dealing with human nature, one disposed to find fault can be supplied with raw material, and if it is not on his mind, he can readily work it over into the finished product. On the other hand, if a man is disposed to be an optimist, he can just as readily find much in the 'image divine' to admire. A man generally finds that for which he seeks, and quite often he hasn't far to go." (1:291)

Allen's statement points out the high regard for physical well-being and positive personality traits thought necessary for successful supervision in his day. A concern for effective human relations was implicit in his discourse.

This humanistic approach to education was not evident to Halpin (26:22) when he proclaimed that "good supervision" as practiced in the 1920s was rooted in firm paternalism in which "fear-inspired" discipline had a major role. The literature from 1918 to 1929 supported his claim of paternalistic supervision in this era of educating America.

Gray (20:32) in 1918 identified supervision and improvement of classroom teaching as the most important single phase of the principal's work. This supervision, he declared, involved mostly "telling" on the part of the principal. The emphasis to be followed by progressive principals was to indicate what the teacher was doing wrong, using "scientific evidence." Two methods were to be followed in evaluating classroom instruction, the first involved the measurement of teaching results, the second included observation and criticism of methods employed by the teacher. The use of test and measurement was unquestionably the most objective and scientific approach to determining the quality of instruction, according to Gray (20:32).

Although many contemporary writers of the 1920s listed supervision of instruction as the main task of the principal, various lists of duties did not show this to be true. Nutt (41:177-193) outlined what he termed, "the administrative duties of the principal." They were:

1. Annual and Semi-Annual Duties
   a. Supplies and equipment
   b. Promotion of classes
   c. Individual cases of promotion
   d. Classifying new pupils
   e. Checking the permanent records of pupils
   f. Reports to the Superintendent
   g. Schedules
   h. Commencement exercises

2. Daily Routine Duties
   a. Inspection of building and grounds
   b. Inspection of janitorial service
   c. General management of pupils on the playground
   d. Excluding pupils from school
   e. Attendance
   f. General and specific discipline
   g. Lunch for pupils

3. Miscellaneous Duties
   a. Fire drills
   b. School enterprises and activities
   c. Parent-teacher organizations
   d. Teachers' meetings
   e. School exhibits

Nutt's (41:193) description of faculty meetings underscored the role of principal at that time: "The building principal generally holds meetings for the teachers under his supervision at regular times of the year...The principal makes announcements of general plans, suggests improvements, and hears complaints and suggestions from teachers." One of his conclusions seems worth noting: "A careful survey of the duties of the principal set forth leads one to conclude that there are plenty of defined activities for the principals to carry out which do not encroach upon the spheres of teachers or the superintendent."

Reavis (44:279) broadened the responsibilities of principals when he stated, "The principal should be regarded as the responsible head of the school, and as such he is

invested with duties managerial, professional, and social in character." This indicated that the principals' role in the community had begun to emerge. However, there was some indication that community interaction may have been treated in a somewhat routine and expedient manner during this era.

Since the 1920s, authorities in the field of education have consistently held that the most important responsibilities facing the principal were in the areas of supervision of instruction and curriculum. Studies showing practices and time spent disputed this philosophic position. For example, McClure (39:506) in 1921, reported on a study where fifteen "leading" professors were asked to rank five responsibility areas of school administrators in order of their importance. Next, thirteen of the professors made observations of the activities of administrators. The "what ought to be" and the observed functional rankings were as follows:

What Ought To Be	Functional Rankings
1. Supervision of Teaching	1. Administration
2. Administration	2. Clerical
3. Community Leadership	3. Supervision of Teaching
4. Professional Study	4. Community Leadership
5. Clerical	5. Professional Study

The amount of time principals in and around Baltimore, Maryland, were spending in various functions during the school year 1925-26 was studied by Flowers (19:422). In this study his classifications were:

1. Administration	26 duties
2. Supervisory	11 duties
3. Clerical	7 duties
4. Community and Miscellaneous	6 duties

In both cases (McClure and Flowers), the principals indicated that they spent in excess of sixty percent of their time in administration and clerical functions.

Another of the findings of principalship practices in the 1920s was reported by Ayer (7:25-40) in 1929. Seven hundred sixty-two principals and superintendents from different areas of the United States declared, collectively, that they were

performing some 29,000 duties in their capacities as school administrators. Frequent repeats and overlapping duties were found. Ayer refined the list until he had an even 1000 which he distributed into the following categories.

1.	General Control	101 duties
2.	Executive Management	169 duties
3.	Business Management	153 duties
4.	The Teaching Staff	86 duties
5.	The Pupils	120 duties
6.	The Curriculum	70 duties
7.	Special Activities	79 duties
8.	Instruction	106 duties
9.	Special Services	116 duties

An inspection of Ayer's list shows that, in terms of quantity, the greatest number of duties were in categories identified as executive management and business management, while the smallest number were in curriculum, teaching staff and special activities.

The literature of the 1920s does not pay a great deal of attention to functions of the principal which are currently classified as pupil personnel activities. Many references were made to discipline, scheduling, and proper placement of students; however, there was scant mention of activities beyond this narrow realm.

The solicitation of classroom teachers' opinions regarding the operation of the school was looked upon with apprehension by many educators in the 1920s. Cubberly (17:343) declared in 1929 that teachers' councils may go too far. They, he declared, are only advisory organizations; however, the relations between them and the principal must be cooperation. He reaffirmed the position that there could be only one head of a school or school system. The ultimate responsibility for the execution of policies, once agreed upon, rested with that one person, the principal. As public education moved into the 1930s and early 1940s, the role of the principal was well established. He was captain of his destiny.

By the late 1940s, principals appeared to become more "guidance oriented" in their pupil relations. While the traditional concerns for school administration were

retained, responsibilities were added. An example of this expanded concern for "guidance" was reflected in a study of the functions of the elementary principal by Lauderbach (32:113) whose study of teacher opinions concerning the effectiveness of principals listed the five greatest needs from the teachers' point of view.

Teachers felt that the principal should offer more assistance in the following areas:

1. Handling discipline cases in a more decisive manner
2. Improving overall supervision
3. Offering regular, constructive criticism
4. Explaining more carefully school routines to new teachers
5. Commending teachers for a job well done

Yauch (60:273-96) in 1949 saw the duties of the principal as a series of problems facing the principal. Those that might be considered as administrative in nature were as follows:

1. The problems of opening school
2. The problems of administrative responsiblities
3. The problems of office routine
4. The problems of being the building executive
5. The problems of plant manager
6. The problems of school finance
7. The problems of closing school

This list, as seen in previous lists and those to follow, indicates that the principal's involvement with other matters inhibited his ability to perform the vital function of supervision of instruction.

The principal in the early 1940s was thought of as a teacher of teachers, and was expected to direct the activities of his subordinates through observations with follow-up critique conferences. Implicit in this practice was the belief that the ultimate knowledge of "best practices" rested in this status leader. There were indications that at the height of this period even the follow-up conference was routinized.

Ayer, Hall and Little (8:40) reacted to frequently posed questions of how a principal could supervise in curriculum areas in which he had no direct experience. They emphasized the point that, while an administrator could not be an expert in all

areas of the curriculum, he should have some specific knowledge of several subject areas and be acquainted with all the general learning areas. Furthermore, the administrator should be familiar with the authorities, resources and research and should keep abreast of significant changes in and methods and techniques of teaching the various subjects. This observation appeared to place the principal in a lofty position commanding respect from subordinates and patrons of his school.

Triplett (54:104) conducted a time study of selected principals in San Diego County, California in 1960. The categories used in his study were:

1. Administration
2. Supervision
3. Pupil Personnel
4. Public Relations

It seems strange that curriculum was not included. Also, when Triplett's results were compared with those reported by Flowers in 1929 one might hypothesize that the principal's clerical duties of the earlier days had been transferred to a school clerk. This presumably allowed the principal to devote more time to public relations and the recently identified function of pupil personnel.

A study of the changing role of principals from 1947 to 1962 was conducted by May (38:83). From the responses of 122 principals who had held their position in the same school district for the fifteen-year period, May reported what these principals believed to be the most significant trends in the principalship:

1. More public relations
2. More duties
3. Longer working days
4. More interference from outside groups
5. Less prestige for the principalship
6. Added educational requirements
7. Larger schools
8. Better qualified schools
9. More specialists help
10. Added state requirements
11. More testing and guidance
12. Increase of crowded classrooms
13. The lowering of moral standards of both pupils and parents
14. Introduction of electronic teaching devices
15. Increasing of benefits for a typical pupil

In 1964, Paulo (43:62-5) studied the inservice needs of elementary principals in Riverside County. He used five broad categories of administrative functions in conducting his research. The categories ranked in the order of most need for inservice were:

1. Curriculum Development
2. Supervision
3. Pupil Personnel
4. Administration
5. Community Relations

Except for the substitution of terms, such as "Curriculum Development" for "Supervision of Teaching" and "Pupil Personnel" for "Clerical" there appears to be little change. However, the impact of somewhat subtle movement began to change the principal's role to one that would open the schools management system to include students, parents, teachers and other members of the community.

The Principalship - A Break in Tradition

A new mode of educational administration arose in the early 1960s, with the realization of the shortcomings in the traditional approaches to school management, and new knowledge of effective leadership.

The beginning of this shift to a more open management style was found in the literature of the 1940s and 1950s. In 1942, Jacobson and Reavis (31:50) called for staff involvement in policy making. They listed the following three assumptions as the basis for their stance:

1. Universal respect for an individual's worth and dignity, regardless of his race, creed or social status.
2. Increasing emphasis upon ways and means of cooperation to develop common beliefs among the staff.
3. Stress on the development of each individual's potential insofar as their goals do not conflict with the common welfare.

Jacobson and Reavis believed that if these assumptions were accepted, it must follow that all personnel of a school would be fairly represented in policy making and appraisal.

Melby (40:62) called for a continual appraisal of current educational administration practices in light of new studies and information. Maier and Solem (37:7) stated that effective leaders have been shown to encourage minority opinions and conflict to a greater extent than have less effective leaders. Wynn (59:45) said that the competent school administrator generates "power through and with people" rather than "power over people."

Griffiths (21:173) supported this rising concern for human relations in supervision. He suggested that the principal, in his role of instructional leader seeking improvement in the program, must provide:

1. A climate of efficiency, cooperation, service, and stimulation within which the school program, as its exists, can operate most effectively.
2. Leadership and coordination in periodic and continuing evaluations of the effectiveness of the total school program in meeting the needs of students.
3. Leadership and coordination in continuing revision of the total school program to meet the needs of students.

Griffiths also summarized the broad scope of community relations responsibilities widely held by contemporary leaders in educational administration in the early 1960s. He stated that the principal must:

1. Know the community.
2. Take an active part in the growth and improvement of the community and encourage the staff to do likewise.
3. Facilitate community participation in the life of the school.
4. Provide for interpretation of the school to the community.

Calling for continuous self-renewing schools, Watson (57:106-15) designed a ten-step process. The steps, which become management functions of the school's administrator, are:

1. Sensing
2. Screening
3. Diagnosing
4. Investing
5. Weighing
6. Deciding
7. Introducing
8. Operating
9. Evaluating
10. Revising

Watson emphasized that successful attainment of a continuous self-renewing school required, at each step, cognitive clarity about the goal and appropriate methods for each process. Emotional involvement, skills that need to be developed, and a social structure that would encourage and sustain the desired attitudes were equally essential.

In a 1970 report of the United States Senate's Select Committee on Equal Education Opportunity (55:1), the position of the principal was clearly stated: "The principal plays a pivotal role in the life of a school." The report singled out the principal as the most important and influential individual in any school, responsible for all activities that happen in the school building and on the school grounds. According to the report, the principal's leadership is the factor that sets the tone of the school, the climate of learning, the morale and level of professionalism of the teachers, and the degree of concern for what the students may or may not become as a result of their experience in school.

The report further concluded that the principal is the main link between the community and the school, and that it is the manner in which he or she performs this function that determines the attitudes of the parents and students about the school. If the school is a vibrant, child-centered, innovative place, if it has a reputation for excellent teaching and learning, if students perform to the best of their ability, the report claimed that one could point, almost always, to the principal's leadership as the key to this success.

Richard and Patricia Schmuck (50:?35-44) supported the opinion that the principal, more than any other individual, influences the climate of a school. They stated that the principal's formal and informal behavior has profound effects in shaping the interpersonal relationships that occur on a day-to-day basis in a school. They warned, however, that a principal who attempts to enter into "whole-person"

relationships with teachers and students faces some very strong obstacles. This is because traditional expectations of a principal's behavior make it very difficult for a principal to initiate close and candid interpersonal relationships with others. They believed that, despite the "inertia of tradition" and the force of multiplying demands which resist changes in the principal's role, the mid-1970s seemed ripe for principals to start behaving differently in the school.

Knier (32:234-6) seemed skeptical about the ability of the system to allow the principalship to become more open and humanistic. She viewed the usual public academic setting as being structured in such a way that meaning and value are rarely experienced. "If they exist at all," she claimed, "meaning and values descend momentarily from outside and far away or are projected into the future 'when it will all come together.'" To her, the major focus in most public schools is on discipline, not on learning specific information.

As viewed by Sarason (47:129), the conflict between the push for change and the reluctance to let go of tradition has created a dilemma for the principal. Sarason recognized that he, along with many others, sees the position of principal as implying leadership. Whatever one's motivation for seeking the position of principal, he claimed, it would be rare if a mental image of the job included being a housekeeper or a highly paid clerk or an embattled figurehead. Sarason concluded that at the beginning of a principalship assignment, the principal wants the school to bear the stamp of his or her conception of what a good school and education should be. He or she wants to feel and to be influential. The dilemma begins when the principal realizes that words and power, far from guaranteeing anticipated outcomes, may be ineffectual and even produce the opposite of what was intended.

According to Sarason (47:129) this dilemma is further complicated when the principal has to deal with people who operate in styles, or who possess expertise, different from his or her own and with whom the principal is not the leader. The dilemma of the principal is further aggravated by frequent proposed changes for the school in the form of federal or state mandates. The changes do not come from him or her; they come from an external source. Sarason (47:129) emphasized one point not to be overlooked regardless of how the principal feels about the proposed changes (pro or con), the responsibility for implementing those changes is his or hers in fact and in spirit.

For education to become more human (e.g., to become more concerned with the students, with student-teacher ralations, and with the relations of students and teachers to learning in terms of human significance), the philosophic basis of the administrative role must be confronted and examined according to Knier (32:243-4). She claimed that, from the existential point of view, the principal is first of all a person. He has come to the position not only by training but through rational experience. She suggested, "The administrator can only be a facilitator, since he stands outside the primary relations of student, teacher, and subject matter. His concern must be to provide the space, time and materials needed for genuine educational enterprise to take place." She pointed out that the principal as facilitator does not think of the school as a plant whose primary goal is efficient operation. He thinks of the school as a place which serves communal life, and as a place where people can come together to transmit, share and celebrate the works of the human spirit." (32:246).

Most principals take the role they are expected to portray. "Unfortunately," bewailed Richard and Patricia Schmuck (50:338), "most principals seem to have typical bureaucratic role relationships with their teachers." They claimed that, "The staff norms typically support hiding personal anxieties and job-related weaknesses, avoiding public expression of affect and adopting a universalistic perspective for all colleagues, regardless of their particular interests or personal styles." Maintaining 'professional distance' seemed to be the most commonly accepted principal behavior. They saw hope, however, claiming that, even in the face of these barriers, many principals have attempted to act more openly or informally, trying to establish a more relaxed and humanistic atmosphere in the school.

A new role for the principal was envisioned by the Schmucks (50:338). They felt that, despite the fact that the principal is the formal leader of the school, it should be obvious that he or she does not have to execute all the functions of leadership. In fact, as they pointedly expressed, the principal's power should be dispersed throughout the system so that many people have influence on what transpires in the school. They expressed their position on influence as follows:

> Not only is the dispersal of influence congruent with humanized values, it also helps to increase the effectiveness of a staff. Often the most effective leadership that principals can adopt is to refrain from taking a firm position, thereby allowing others to be influential...We do not mean here that the principal should abdicate his power position and assume a laissez-faire orientation. The effective principal gives others the chance to be the center of attention and to display their skills, while maintaining his position of legitimate authority. (50:339)

The idea that the principal does not have to be "boss" has been supported by other contemporary writers. Hall and Williams (25:7) reported research in social psychology that supported the role of the principal as a "convener of problem solving." Their findings showed that it is possible to create relationships among group members that lead to the group's exhibiting properties different from properties observed in typical committees, staff groups, or task forces. Watkins (56:8) claimed that principals who maintained close informal relationships with teachers also have a school in which there is an open climate, high spirit and high trust. The most important responsibilities of today's principal as the educational leader of the school, according to Schmuck and Nelson (49:19), are to "(1) insure flow of data free from suspicious and negative feelings, (2) diagnose the nature of the problems that appear, and (3) initiate appropriate actions to resolve problem situations."

Since the mid-1970s, focus on and concern for the principalship has become intense. The site administrator appears more than ever to be caught between two colliding systems of control. On the one hand, Hansen stated (27:21-6), the principal faces a superior (superintendent, school board, state legislature) who expects him or her to execute formally established policies. On the other hand, the principal faces subordinates (teachers) who have been granted an ever-increasing role in determining the rules and regulations that the principal is expected to manage. The notion that superintendents do not see principals as educational leaders but rather as subordinate members of the bureaucracy and, in fact, middle management employees was supported by Houts (29:7).

"What are the problems that principals face?" Houts asked (29:7). In answer to his own question, he claimed that, except for collective bargaining and race relations, the problems themselves have changed little over the past three or four decades,

but they have taken on a greater complexity." The example he presented was that principals have always had to work with communities. Earlier references in this report showed this to be true with the first principal teacher. According to Houts (29:7) the difference is that "...the very concept of community itself had undergone radical change, thereby making the principal's responsibility infinitely more difficult."

California Assemblyman Dennis Mangers chaired an Assembly Education Committee Task Force that focused on the needs of the principal. The task force (3:18) highlighted some of the many forces acting on the school setting. Students, parents, and teachers are asking for more participation in school governance. At the same time, the courts, federal and state governments, affirmative action, legislation-specified procedures in the placement of exceptional children, state-wide testing, minimum proficiency standards in basic skills, needs assessments and specific educational programs singly and collectively impinge upon the discretionary powers of the principal.

This dilemma was underscored in the Association of California School Administrators (ACSA) Special Report (4:6). The report exhibited a matrix listing sixty responsibilities that a principal must manage and identified eighteen groups with which the principal interacts in attempting to meet his or her responsibilities. The Mangers report (3:19) stated that, while the principal's role has become one of leadership in sorting out effective action plans within a complex set of requirements, in some areas the principal has lost control. In others, the report continued, the responsibilities of the principal have become even more complex, and that the skills necessary to lead in this challenging environment have multiplied.

The summary of the ACSA Special Report (4:12) reiterated that a number of forces are changing the role of the school site leader/administrator. The feeling as seen by this review was that the role of the principal has changed. If this feeling is true, it seems to place new skill requirements on the principal. This in turn raises questions about the training needs of today's principal. The pre- and inservice training of principals in California will be discussed in the next section.

The Principalship - Training and Credentials

The recent dramatic changes in the role and responsibilities of school principals have caused a shift in the competencies required to do the job. Most principals now serving in California schools were trained prior to this shift. The California Assembly Education Committee Task Force (3:26-32) claimed that more than 70 percent of school administrators in California are over age 55. The Task Force found that these principals facing increasing complex roles have limited opportunities to gain requisite skills or to receive technical assistance.

Data provided in a summary of an assessment survey conducted by the Association of California School Administrators (5:6) supported the notion that principals in California feel they are not adequately prepared to be school administrators. In particular, the survey showed that the most often identified inadequacies were in the areas of observation and evaluation of classroom behavior. Principals interviewed by the San Francisco Public Schools Commission (46:7) were almost unanimous in stating that they needed outside help and additional training to do their job better. This was particularly true when their authority was broadened to include budget discretion and planning. Practical on-the-job training was preferred over more formal training. Another recurring stated need was help from the central office with difficult personnel problems.

Several theories regarding the training needs of principals have been discussed in current literature. One theory stressed the value of successful classroom experiences. For the most part, the feelings expressed were that teaching experience, in itself, does not adequately prepare a person for the role of the principalship. Paulo (43:3) claimed that the skills of leadership gained through teaching children were often quite dissimilar from those needed to work with colleagues.

Inadequate preparation in the area of curriculum content was reported by Lepick (35:73). His survey of principals in unified school districts in California showed that the odds were six to one that principals in 1961 did not have experience in both primary and upper elementary levels. He reported that more than four percent of the elementary principals surveyed had never taught in an elementary school.

A parallel response was found regarding academic training. The report of the Assembly Education Committee Task Force (3:21) stated, "According to many principals, their academic training did not prepare them for their responsibilities as school administrators." Grippa (22:3) reported that principals rated their experience as principal, their teaching experience, and their teaching training as being more useful in their job than the formal administrative training they received.

Elementary principals in California, according to Bridges (10:3) in an extensive interview, attributed their success in their jobs to practical experience. In fact, he declared that less than two percent singled out college or graduate preparation as an important determinant of their success in the role of principal. This low percentage makes one wonder about the recency and nature of the academic training of the principals surveyed.

Candidates for the principalship in California should not have been so wholly unprepared for this new task. Paulo (42:2-3) reported that in 1965 certification requirements called for an administrative credential candidate to show evidence of having negotiated a series of academic hurdles prior to obtaining the credential. Courses in curriculum construction, counseling and guidance, test and measurement, school law, school finance, administration, supervision, organization, and a field assignment were required.

The certification process was heavily criticized by Houts (29:9). He charged that, although certification requirements were originally and ostensibly set up to maintain standards, a different by-product prevailed. He claimed that instead of governing the preparation and employment of teachers and administrators the requirements have in fact ensured a healthy monopoly for educators and nurtured the growth of educational administration as a field of study.

The California Assembly Education Committee Task Force report (3:17) stated that pre-service training programs for school administrators are conducted in forty-two colleges and universities in California. Courses are offered in different settings and time frames with day classes for full-time students and evening classes for

professionals actively employed. Supervised field experiences and internships are also a part of available programs. Approximately forty of these institutions of higher learning have administrator programs which have been approved by California's Commission for Teacher Preparation and Licensing.

Students completing the approved training programs can receive an administrative services credential. This enables them to serve in any administrative capacity in California's public schools. The Task Force reported in September 1978 that current law also provided for credentials to be awarded based on passing a written administrative services examination. In either case, the Task Force concluded, administrative services credential applicants were required to hold a valid teaching or pupil personnel credential. Additionally, all candidates had to have at least three years of successful teaching or counseling experience. One additional means for obtaining the desired administrative services credential was through an approved one-year intern program (3:22).

The California Legislative Analyst's (13:31) office showed concern over the test used in the credentialing program. They felt, as did many others, that a new examination should be created which would be capable of evaluating an individual's ability to administer programs. The Commission, however, did not have funds allocated by the legislature to develop a new examination; therefore, the administrative portion of the teachers' examination was utilized.

The examination process for an administration credential was declared totally inadequate by the Assembly Task Force (3:24). They reported that over 9600 persons took the designated administrative examination in 1977. An estimated 40 percent passed. Included in this group was a college sophomore who took the test by mistake. He passed with an excellent score. Other drawbacks pointed out by the Task Force were that, since the examination was a national one, candidates had no need to demonstrate any knowledge of California school law, finance or organization to receive a passing score. No field experience was required of those taking the examination. The law allowing this examination was repealed in October 1979.

Guidelines for the administrative services credential programs and the administrative internship programs required that institutions offering the programs provide opportunities for students to develop competencies were reported by the Assembly Task Force (3:29). They are:

1. Education program improvement
2. Personnel management
3. Administrative leadership
4. School-community relations
5. Governance and legal processes
6. Principles and practices of public school management

These areas for competency development were defined by the Commission for Teacher Preparation and Licensing during the years of 1973 and 1974.

Other problems regarding the credentialing practices of the state were brought up in a Legislative Analyst's report (13:32). The first problem stated was that all school administrators are licensed by a single credential. The report's second problem statement was that training programs for school administrators are too broad in scope. Authors of the report felt that it would be difficult, at best, to make requirements more precise. The credential certifies the holder to serve in supervisory positions not only at the school site but in district offices.

Another attack on the current licensing system was voiced by the Task Force for the Assembly Education Committee (3:21-2). They complained that the present licensing system lacks high standards for evaluating the adequacy of a candidate's preparation. A further denouncement was that the competency areas adopted by the Commission were so broad that programs that do not include specific or measureable requirements may be approved.

While the Task Force's call for competency-based preparation may be valid, it appears to be premature.

It has been observed over the past decade that while the California legislature takes two to three years to pass major educational program acts, it demands instant improvement in areas covered by the acts. This is so even though it may

take the California State Department of Education another two to three years to develop rules and guidelines. County offices of education and local school districts often must wait for the state guidelines before responding to the new mandate. By then, the legislature often has started to evaluate the effect of their legislation.

Coupled with the reported shortcomings of the standard pre-service programs for elementary school administrators is the fact that there is rarely an organized inservice program available within the administrator's school district for those who might wish to improve their skills. Principals who have been recently trained, according to the Assembly Education Committee Task Force (3:32) find the role of principal to be complex and dynamic. The Task Force concluded that, because each community shapes the values, interests and aspirations of its children, pre-service training cannot fully prepare administrators and other school staff to meet the diverse and changing needs of the pupils they serve.

Effective leadership in the public schools may not be possible unless the principal receives additional support and assistance. The Assembly Task Force (3:33) declared that many of today's principals were trained at a time when high priority was given to management behaviors that are no longer applicable. This, they claimed, was an indication that the day of the benevolent, patriarchal principal may have passed.

Berman and McLaughlin (9:23) reported that research indicates that ongoing staff development is critical to effective programs. They proclaimed that all principals and other school staff should have continuing opportunities to develop and upgrade skills.

How should the skills needed by the present elementary shcool administrator be developed? Stoops and Rafferty (52:445) offered the following guidelines:

1. All personnel, both experienced and inexperienced, will gain much from a good inservice program.
2. It is the responsibility of each individual to seek self improvement; it is the responsibility of the district to provide ample opportunities for such improvement.

3. The first step in organization of an inservice program should be the formation of aims and purposes, on which there should be substantial agreement among school personnel and lay readers.

4. Inservice training should be designed to fulfill specific needs for school district personnel.

5. Inservice training programs should be flexible, being adaptable to the changing needs of the community, curriculum and staff.

6. Classified personnel and administrators need inservice training as surely as do teachers. (52:445)

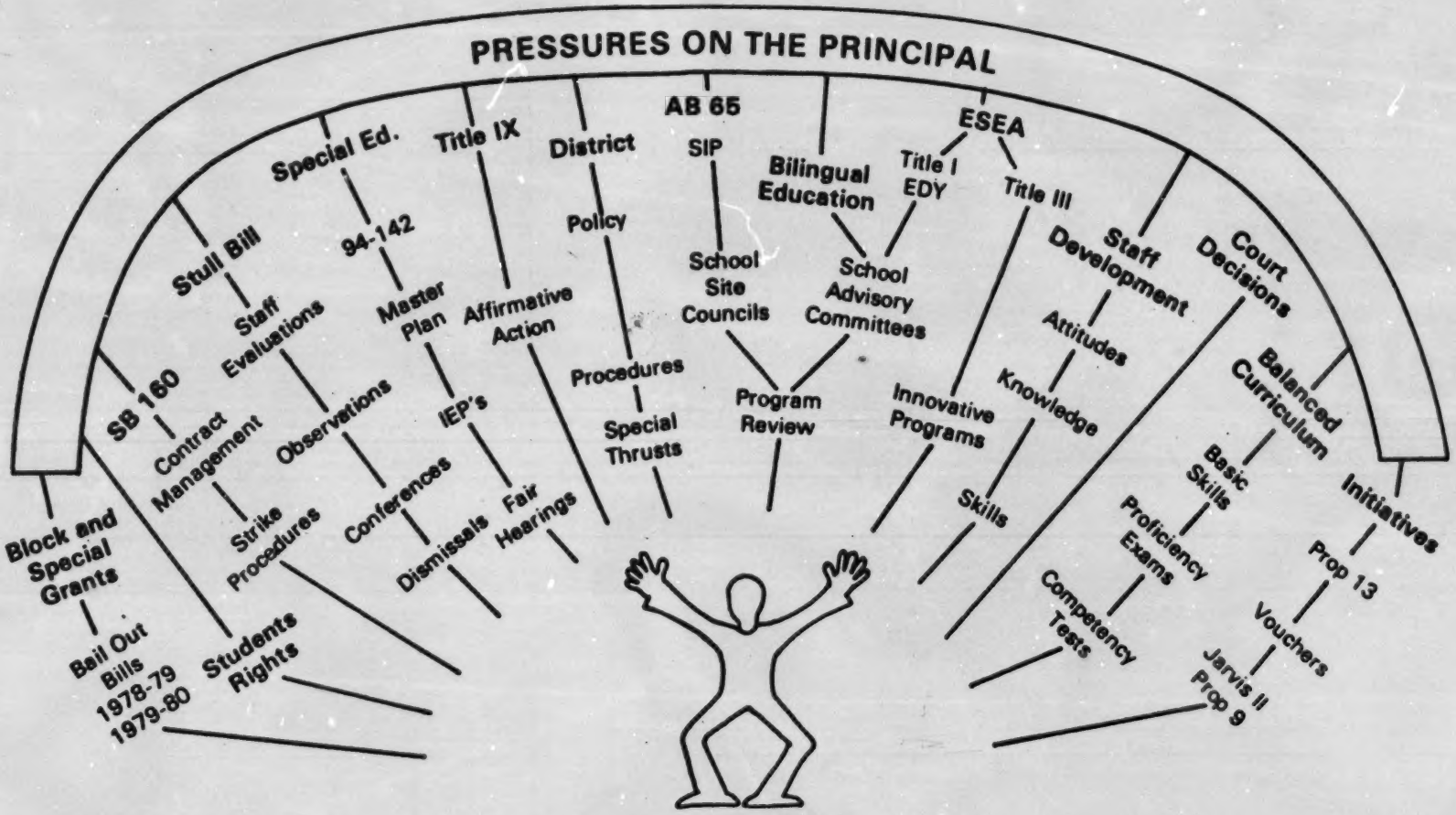
Unfortunately, according to the American Association of School Administrators (2:7), the people of this country have not expected or designated to any agency or institution any substantial measure of responsibility for providing inservice assistance to school administrators. Presently all sectors of our society are talking about sharing resources and recycling material. It seems that we often forget that people need to be recycled, too. It is apparent that we need to retrain principals because as Houts (29:12) declared, ". . . to stop learning at any position is to begin to stagnate."

To avoid this stagnation, it is imperative that the specific needs of today's elementary school administrator be examined. The principal appears to sit in the eye of a hurricane, waiting to see what new force will buffet the principalship.

The Principalship - Summary

The review of literature revealed that the role of the principal has been a continuous evolutionary process since the establishment of the first principal-teacher. However, the rate of change has not been constant. The addition of responsibilities to the principalship from the colonial principal-teacher to the first one-school principalships of the 1880s appear to have been similar to a simple arithmetic progression. One step led to another. However, starting with the 1920s through the late 1960s, changes came more rapidly; and these changes can be compared to a geometric progression. In the 1970s the intensity, the complexity and the demand upon the principal's skills and time have mushroomed not unlike a logarithmic progression, even though the principalship still is and must remain a one-person job. Figure 1 on page 30 illustrates this dilemma.

Figure 1


PRESSURES ON THE PRINCIPAL
Special Ed.
Title IX
District
AB 65
SIP
Bilingual Education
ESEA
Title I EDY
Title III
Staff Development
Court Decisions
Stull Bill
94-142
Policy
School Site Councils
School Advisory Committees
Attitudes
Knowledge
Skills
Balanced Curriculum
Basic Skills
Proficiency Exams
Competency Tests
Initiatives
Prop 13
Vouchers
Jarvis II Prop 9
Staff Evaluations
Master Plan
Affirmative Action
Procedures
Special Thrusts
Program Review
Innovative Programs
SB 160
Contract Management
Observations
IEP's
Conferences
Dismissals
Fair Hearings
Strike Procedures
Block and Special Grants
Bail Out Bills 1978-79 1979-80
Students Rights
The FOCUS is on the PRINCIPAL

Olivero (42:1) saw mandates by federal and state governments and the courts as the cause of the most recent changes in the responsibilities of school administrators. He declared that two specific California laws (AB 65 and AB 3408) requiring performance standards have placed new time, leadership, and communication responsibilities on the principal.

Sawhill (48:7) summarized the problem clearly when he declared:

1. Schools are asked to do too much.
2. Students cannot learn what they are not taught.
3. We do not know what makes for an effective learning experience.
4. What is good for the teacher is not always good for the student.
5. The way we finance education is discriminatory.
6. Someone must be in charge.

That someone who must be in charge, if the school is to operate successfully, is the principal. The lifestyle of a school is in the head of the principal. It is the integrated background experiences of the principal that set the stage for a school program. The problem today is that the role of the principal has, over the past five or ten years, been expanded by both federal and state legislation. Laws intended to eliminate segregation, sex discrimination, language deficiency, poor nutrition, poverty, etc., compound the daily role expectations of today's principal. This is a role no one can be expected to fulfill without help and continuous training.

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An Official Publication
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March 1980